

# Annual Personal Information (PI) System Report

## Deadline for submission: September 30, 2009

**HRS§ 487N-7: "Effective January 1, 2009, any government agency that maintains one or more personal information systems shall submit to the council an annual report on the existence and character of each personal information system added or eliminated since the agency's previous annual report. The annual report shall be submitted no later than September 30 of each year."**

**"Personal information system"** means any manual or automated recordkeeping process that contains personal information and the name, personal number, or other identifying particulars of a data subject.

**"Personal information"** – means an individual's first name or first initial and last name in combination with any one or more of the following data elements, when either name or data elements are not encrypted:

1. Social security number;
2. Driver's license number or Hawaii identification card number; or
3. Account number, credit or debit card number, access code, or password that would permit access to an individual's financial account.

Personal information – does not include publicly available information that is lawfully made available to the general public from federal, state, or local government records.

**Instructions: Please complete Section B. Fill out a separate report for each Personal Information System maintained by your Agency or Program.**

**Agency or Programs covered by this report:**

A. Required information	B. Your Response
1. What is the <b>name</b> or descriptive title of the PI system?	Human Resources System as well as the Time & Attendance System
2. Where is the PI system <b>located</b> ?	Both data systems are on Servers at our Main Computing Center in Honolulu. HR Staff are co-located in the Main DOE building in Honolulu, as well as Dole Cannery DOE offices. The T & A staff are in the Main DOE building in Honolulu.
3. What is the nature and <b>purpose</b> of the PI system?	HR system tracks personnel records for employment, including certifications for teaching and required security background checks for certificated employees. The T & A system tracks qualified payroll and authorizes leave requests.
4. Cite or describe the statutory or administrative <b>authority</b> for establishment of the PI system.	<p>In accordance with the Immigration and Nationality Act, as amended by the Immigration Reform and Control Act of 1986, persons selected for employment must meet the work authorization requirements of the Immigration and Naturalization requirements of the Immigration and Naturalization Service and submit the Form I-9, "Employment Eligibility Verification." Documents that establish identity and U.S. employment eligibility are required within three (3) business days of the date of employment. Non-compliance of this requirement may result in termination of employment.</p> <p>Under Act 257, SLH 1990 (Section 846-43, HRS), and the Board of Education approved Chapter 8-7 Hawai'i Administrative Rules, the Hawai'i State Department of Education is authorized to conduct an employee background check for public school personnel as a condition of employment. Persons selected for employment in close proximity of students must successfully complete the employment screening process including criminal history record, employment history, fingerprinting and background checks (Form 90).</p>

A. Required information	B. Your Response
5. What is the approximate <b>number</b> of all individuals on whom PI is maintained?	About 23,000 DOE employees, of which includes about 14,000 teachers.
6. List categories of PI stored in <b>computer</b> -accessible records.	Only authorized personnel who need to verify background checks as well as authorize payments have access to records with Social Security Number, as needed for federal reporting. Current submittal of leave requests does require at least the last 4 digits of social security; however, by April 2010 we have planned conversion to eliminate that need in the new version of our Time & Attendance system.
7. List categories of PI maintained <b>manually</b> .	none
8. List categories of PI maintained in any other way.	Our Vendor Payments must maintain Social Security Numbers for Vendors listed as Sole Proprietor. All other instances are strictly for employee records with limited access to only authorized personnel with a need to execute employee verification.
9. If the PI system or any part thereof is confidential pursuant to statute, rule or contractual obligation, describe the confidential requirement while also identifying the source of the same.	<p>Independent of employee records, as a Public Educational Institution we are required to abide by Family Educational Rights and Privacy Act (FERPA) to maintain confidentiality of student personal information. However, we use a Department generated Student ID instead of social security number to identify individual students.</p> <p>Individuals with Disabilities Education Act, as amended by the Individuals with Disabilities Education Improvement Act of 2004 (Act or IDEA), requires that only individuals directly related to administer educational or supplementary services have access to personal student information.</p> <p>Although Social Security Number is required for employment verification, once employed, individual staff records are stored with a system generated employee ID that used to identify individuals independent of Social Security Number.</p>
10. If the PI system is maintained on an unrestricted basis, describe the confidential requirements related to the system.	n/a
11. Provide detailed justification of the need by your agency for statutory or regulatory authority to maintain the PI system on a confidential basis for any system or part thereof that is required by law or rule.	See response to item #9.
12. List all categories of <b>sources</b> of PI.	Request for Personal Leave Request for Employment
13. What are your Policies and Practices regarding PI <b>storage</b> ?	All hardcopy material with individual names and any identification number are to be shredded. Access to all DOE applications must be from within the DOE network Firewall. No employee or student records are to leave DOE premises without express written authorization. Electronic access to confidential information of any kind is controlled by role based signon.
14. What are your Policies and Practices regarding the duration of <b>retention</b> of PI?	For employee records DOE follows guidelines stated under HRS 94-3.  To facilitate an effective financial or programmatic audit, each recipient of federal funds is also required to retain records for three years after the completion of the activity for which the funds are used. In the case of the IDEA, this would include records demonstrating that all eligible students with a disability are provided a FAPE, consistent with their IEPs.
15. What are your Policies and Practices regarding the <b>elimination</b> of PI from the system?	See response to item #9.
16. Describe how the PI contained in the PI system is <b>used</b> by the agency or program.	See response to item #9.
17. List agency or program personnel (by job classification) to whom <b>disclosures</b> of PI are made. Describe any restrictions on disclosure and redisclosure for all job classifications listed in your response.	DOE Office of Human Resources for personal background checks. DAGS Pre-Audit Branch for claims of lost checks Employee Retirement System for verification of employment Hawaii Teachers Standards Board for verification of education certificates

A. Required information	B. Your Response
18. List agency or program personnel (by job classification) to whom access to the PI system is granted. Describe the purpose of such access and any restrictions on disclosure, access and redisclosure for all job classifications listed in your response.	Access limited only personnel and payroll specialist.
19. List all other agencies, persons or categories to which disclosures of PI are made. Describe any restrictions on disclosure and redisclosure for all entities listed in your response.	DAGS Pre-Audit Branch for claims of lost checks Employee Retirement System for verification of employment Hawaii Teachers Standards Board for verification of education certificates
20. List all other agencies, persons or categories to which access to the PI system is granted. Describe the purpose of such access and any restrictions on disclosure, access and redisclosure for all entities in your response.	n/a
21. List all <b>forms</b> that are used by your agency or program to collect PI.	Casual Temporary Part-Time Employee Time Sheet Records Deferred Comp Denial of Claim for Disability Benefits (Form TDI-46) DOE's Tax Sheltered Annuity Program Employee Personnel Actions EUTF Form L-1 Form 1099-MISC Form W-2 (Wage and Tax Statement) Governor's Work Force Study HOUSSE Medical Plan Eligible Participants, HSTA-Medical Benefits Payroll Change Schedule Records Professional Development Program Applications Retirement Manager SF-5 Employee Action Forms SF5 Employee Personnel Action Forms Statutory Dues Deduction Records, DAGS Payroll Statutory Dues, HGEA Tax Shelter Annuity TDI Approval Letter Teacher License Fee Deduction WC-3 Year End or Final forms
22. Provide the name, title, business address, telephone number of person <b>immediately responsible</b> for complying with HRS§487N-7.	Mel Decasa, DP Specialist 1390 Miller Street, Rm 417 Honolulu, HI 96813
<b>Report completed by:</b> Mel Decasa	<b>Position title:</b> DP Specialist <b>Agency or Program:</b> DOE/OITS/ISSB
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